



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/843,167	04/27/2001	Partha Neogi	PM 266891 CLX0921CIP-2

Pillsbury Winthrop LLP  
Intellectual Property Group  
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Washington, DC 20005-3918



CONFIRMATION NO. 8588

## FORMALITIES LETTER



\*OC000000006234400\*

10/05/2001 TV0111 00000005 09843167

01 FC:203

513.00 OP

Date Mailed: 06/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

Repln. Ref: 10/05/2001 TV0111 0015335800  
DAH:033975 Name/Number:09843167  
FC: 704 \$81.00 CR

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1428.
  - \$918 for 51 total claims over 20.
  - \$240 for 3 independent claims over 3.
  - \$270 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2268.

A copy of this notice MUST be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

08/29/2001 KZENDE 00000083 09843167  
01 FC:201 355.00 OP  
02 FC:205 65.00 OP  
03 FC:202 120.00 OP  
04 FC:204 135.00 OP  
05 FC:203 574.00 OP  
Adjustment date: 10/05/2001 TV0111  
08/29/2001 KZENDE 00000083 09843167  
05 FC:203 594.00 OP

PART 2 - COPY TO BE RETURNED WITH RESPONSE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): NEOGI ET AL

Appln. No.:

09

843,167

Atty. Dkt.

P

266891

CLX-0921-CIP-2

Series Code

Serial No.

M#

Client Ref

Filed: April 27, 2001

Title: NOVEL HETEROCYCLIC ANALOGS OF DIPHENYLETHYLENE COMPOUNDS

Attn: Application Division

Hon. Commissioner of Patents  
Washington, DC 20231

Date: August 27, 2001

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☒ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification (only spec. & claims)
- c. ☐ Drawing(s)  No of Sheets
- ☐ Fig(s).
4. ☐ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 09/785,554	Feb. 20, 2001	(2) 09/591,105	June 9, 2000
(3) 09/287,237	April 6, 1999	(4) 09/074,925	May 8, 1998
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

9. \_\_\_\_\_ (No.) Certified copy (copies): \_\_\_\_\_ ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☐ is Not claimed ☒ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . .				Design Application	\$320/\$160	106/26
				Not Design Application	\$710/\$355	101/201
14. Total Effective Claims	86	minus 20 =	66	x \$18/\$9	+594	103/203
15. Independent Claims	6	minus 3 =	3	x \$80/\$40	+120	102/202
16. If any proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+135	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+65	105/205
18.				FILING FEE ENCLOSED =		\$1269
19. Original due date: August 27, 2001						
20. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	+0 115/215
				(2mos)	\$390/\$195 =	116/216
				(3mos)	\$890/\$445 =	117/217
				(4mos)	\$1390/\$695 =	118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+40	581
23. Petition Fee for				\$130	+0	
24.				TOTAL FEE ENCLOSED =		\$1309

Our Deposit Account No. 03-3975

Our Order No. 7426

C#

0266891

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP  
Intellectual Property Group**

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Atty/Sec: PNK/MAH

By Atty: Paul N. Kokulis

Sig: 

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**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**